



COMDTINST M4130.10  
SEP 14 1998

COMMANDANT INSTRUCTION M4130.10

Subj: COAST GUARD CONFIGURATION CONTROL BOARDS

- Ref:
- (a) Systems Acquisition Manual, COMDTINST M4150.2 (Series)
  - (b) Coast Guard Configuration Management During Sustainment, COMDTINST M4130.9
  - (c) Coast Guard Configuration Management, COMDTINST 4130.6
  - (d) Coast Guard Configuration, Management For Acquisitions And Major Modifications, COMDTINST M4130.8
  - (e) Acquisition and Management of Integrated Logistics Support (ILS) For Coast Guard Systems And Equipment, COMDTINST 4105.2

1. **PURPOSE.** This instruction establishes policy, assigns responsibilities, and provides guidance to be followed by Configuration Control Boards (CCBs).
2. **ACTION.** Area and district commanders, commanders of maintenance and logistics commands, commanding officers of headquarters units, assistant commandants for directorates, Chief Counsel, and special staff offices at Headquarters and all personnel associated with headquarters CCBs shall ensure that the policy, objectives and guidance provided in this Instruction are followed.
3. **DIRECTIVES AFFECTED.** This Instruction expands on, and assigns responsibilities for the CM requirements stated in references (a) through (d).
4. **POLICY.** The configuration of all Coast Guard assets identified as Configuration Items (CIs) shall be controlled through a structured change control process including a CCB.

- a. CCBs will be established to review and authorize proposed configuration changes to all Coast Guard recognized CIs and their current established configuration documentation.
  - b. The authorized CCB will be the central approval authority for all matters concerning and related to configuration change control for assigned Systems and component CI(s).
  - c. The current configuration and supporting configuration documentation of all Coast Guard recognized and managed CIs, including the System, down to and including the Lowest or Line Replaceable Unit (LRU) will be controlled through a structured change control process. As required by references (b) and (d), the authorized CCB shall be the central authority for all matters concerning and related to configuration change.
  - d. Any change to a CI's form, fit or function, and/or Integrated Logistics Support (ILS) structure as described in the approved and current configuration documentation, i.e., Product Configuration Documentation (PCD), Allocated Configuration Documentation (ACD) and/or Functional configuration Documentation (FCD), shall be identified as a "configuration change". NOTE: The terms form, fit and function are defined in reference (c). ILS elements are defined in reference (e).
5. **SCOPE.** CCBs as required by this instruction must be established for any System developed, acquired, operated, and supported by the Coast Guard and which has been designated as a CI.
- For the purpose of this instruction the word "System" includes platforms (aircraft, vessels and small boats), shore facilities and equipment, including computers, Information Resources Management (IRM) systems, subsystems, components, support and test equipment, and training equipment or devices which have been designated as a CI.
6. **PROCEDURES.** All Coast Guard personnel involved or associated with CCBs shall refer to Enclosure (1) for identification of, guidance on and implementation of stated requirements to ensure effective configuration control.

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In this instruction, "System" refers to the highest level CI, (i.e., the System is not part of another CI) being acquired, operated or logistically supported. A System may be a platform, vessel, aircraft, air station, or shore facility.

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## CHAPTER 1

### CONFIGURATION CONTROL BOARD REQUIREMENTS

A. **Requirement - Configuration Control Board (CCB) Charter.**

Coast Guard Systems, to include both major and non-major acquisitions projects and fielded operational Systems will have chartered CCBs. The CCB charter and the procedures for processing proposed configuration changes will be addressed in the applicable System Acquisition Project or Sustainment Phase Configuration Management Plan (CMP).

- 1 **During Acquisition.** Reference (a) requires that all CCBs established for acquisition projects must submit a CCB charter as part of the Acquisition Project CMP. G-SL endorsement of the charter is mandatory prior to G-A-2 forwarding the charter for signature by Chief Of Staff.
- 2 **During Transition.** The Acquisition Project CCB charter remains in affect until the last production System is accepted by the Coast Guard, or the warranty period for the last production System has expired, at which time the Sustainment CCB takes affect.
- 3 **During Sustainment.** Prior to the hand-off of configuration control authority from the Acquisition Project Manager to the Operations/Facility Manager, the Operations/Facility Manager will write a CCB charter in accordance with the requirements of reference (b). The Operations/Facility Manager will then submit the charter to G-SL for endorsement. G-SL will then forward the charter for signature by Chief Of Staff. The Sustainment CCB charter remains in affect until disposal of the last operational System. The Sustainment CCB charter becomes an enclosure to the System Sustainment CMP per the requirements set forth in reference (b).

B. **Requirement - Configuration Change Consideration.** Only the following requests or proposals for configuration changes will be considered by a Coast Guard CCB:

- 1 Engineering Change Proposal (ECP)
- 2 Requests For Deviation (RFD)
- 3 Request For Waiver (RWD)
- 4 Ship Alteration (ShipAlt)
- 5 Boat Alteration (BoatAlt)
- 6 Ordnance Alteration (OrdAlt)

C. **Requirement - Configuration Control Board Authority.** CCB authority is as follows:

1 **During Acquisition.**

- a. Only the G-A Acquisition Project Manager for a System, in the role of CCB Chairman, is authorized to approve configuration changes to the functional and physical requirements of the System and component CIs.
- b. NOTE: The G-A Project CCB is not authorized to approve configuration changes that if approved would require a change to the Mission Need Statement (MNS) and/or the Operational Requirement Document (ORD). Changes of this nature are referred to a higher review board. Reference (a) describes this process.

2 **During Transition.**

- a. Until the Coast Guard accepts the last production system or the warranty period for the last production System has expired, only the G-A Acquisition Project Manager, in the role of CCB Chairman, is authorized to approve configuration changes to operational Systems and component.
- b. Configuration changes to operational vessels during Production/Deployment must be submitted, processed and implemented as ShipAlts, BoatAlts or OrdAlts, unless otherwise included as part of an ECP.
- c. Configuration changes to operational aircraft during Production/Deployment must be submitted, processed and implemented as an ECP which addresses forced retrofit or retrofit by attrition or a Time Compliance Technical Order (TCTO).

3 **During Sustainment.**

- a. The Operations or Facility Manager for a System will chair the CCB. Only the authorized G-O CCB will have the authority to approve configuration changes to a System or component CIs.
- b. Major modification projects that are intended to result in modification of operational vessels or aircraft will require approval from the currently chartered G-A, G-O or G-S CCB.

D. **Requirement - CCB Responsibilities.**

1 **Responsibilities Include.**

- a. Acting as the official review board to approve or disapprove all proposed configuration changes to a CI. Refer to reference (c) for the definition of a CI.
- b. Arriving at a final determination based on review of the total impact of a proposed change to include both the individual CI and the System
- c. Conducting or directing the conduct of an impact analysis
- d. Considering all information resulting from the impact analysis prior to the approval and implementation of a proposed configuration change.
- e. Delaying formal CCB consideration for approval of any proposed configuration change until all relevant information, i.e., engineering concerns, logistics support, scheduling and funding have been identified, assessed for impact, and planned for. NOTE: The exception to this requirement is a proposed change necessitated by an emergency mission or safety situation.

2 **Impact Analysis Criteria.** Impact analysis and documentation will include:

- a. Cost benefit analysis and risk assessment
- b. Review of all interfaces the CI has with other systems, subsystems or facilities
- c. Identification, analysis and consideration of potential impact(s) on the System or individual CI's:
  - (1) Technical performance. Refer to Chapter 2 for technical performance review criteria
  - (2) Compatibility and interface considerations. Refer to Chapter 3 for compatibility and interface review criteria.
  - (3) Availability and reliability. Refer to Chapter 4 for discussion of configuration change on availability and reliability.
  - (4) ILS structure. Refer to Chapter 5 for ILS issues that must be addressed prior to CCB.



- E. **Requirement - CCB Membership.** CCB membership will be comprised of a chairman, Platform or Equipment CM Manager (CMan), voting members and ad hoc non-voting members. Appendices A and B list the technical and support areas whose representation at a CCB is mandatory and their voting status.

1 **Chairman.** CCB Chairman is responsible for:

- a. The final decision on all proposed configuration changes brought before the CCB. The CCB chairman will make the final decision on all configuration changes, except where a higher level authority within the Coast Guard, the Department Of Transportation (DOT) or Other Government Agency (OGA) is involved or has ultimate management and control of the affected CI.
- b. Ensuring that all CCB members have an opportunity to address each proposed change
- c. Ensuring that all configuration changes are reviewed and controlled by the CCB
- d. Ensuring that the CCB utilizes an established and well-defined change control process
- e. Managing all CCB change control procedures, activities and the timely processing of all proposed configuration changes.

2 **Configuration Management Manager.** The CMan provides guidance to other CCB members concerning adherence to current Coast Guard CM policy. Other responsibilities include providing administrative services such as scheduling meetings, publishing the CCB agenda, recording and distributing minutes of each CCB meeting, recording CCB decisions, and tracking assigned action items.

3 **CCB Voting Members.** Activities or offices represented as voting members of a CCB should be identified in the CCB charter as permanent CCB members. Alternate members should also be identified experienced, qualified representatives from CM, systems engineering, production and acquisition management, logistics support, contracts, safety and operations. Voting members are responsible for:

- a. Reviewing all proposed changes brought before the CCB with regards to their specific area of expertise and functional area of responsibility within the project matrix
- b. Providing information and recommendations relating to their area of expertise or functional area to the CCB Chairman.

- 4 **CCB Non-Voting Members.** Non-voting members participate in CCBs on an ad hoc basis when expert opinion or insight is required to provide a complete picture of the proposed configuration change and resulting impact. For example, expert advisors should participate in the review of a proposed configuration change affecting interfaces, hazardous materials, ecology or the environment.
- 5 **Outside Sources.** Depending on the type of change being proposed, a CCB may request support and/or advice from other sources such as lower level CCBs, Interface Control Working Groups (ICWGs), technical sources, OGAs) and contractors. These representatives attend the CCB to provide additional information and insight into a particular concern.

## **CHAPTER 2**

### **TECHNICAL PERFORMANCE CRITERIA FOR EVALUATION OF CONFIGURATION CHANGE PROPOSALS**

TBD

## **CHAPTER 3**

### **COMPATABILITY AND INTERFACE EVALUATION CRITERIA FOR CONFIGURATION CHANGE PROPOSALS**

TBD

## **CHAPTER 4**

### **AVAILABILITY AND RELIABILITY CRITERIA FOR EVALUATION OF CONFIGURATION CHANGE PROPOSALS**

TBD

## CHAPTER 5

### INTEGRATED LOGISTICS SUPPORT CRITERIA FOR EVALUATION OF CONFIGURATION CHANGE PROPOSALS

- A. **Policy.** Reference (e) identifies and defines the ten (10) Coast Guard recognized elements of logistics. These elements will be reviewed for impact resulting from implementation of a configuration change proposal. The following is provided as an example of information that should be included in a configuration change proposal package prior to CCB approval.
- B. **Maintenance Planning.**
- 1 Identify the level of repair for the new or altered item.
  - 2 State whether or not the Maintenance Plan (MP) is affected. If affected identify the section affected, and when the MP will be updated.
  - 3 State whether or not the Preventive/Planned Maintenance System (PMS) is affected. If affected identify the card(s)/section(s) affected, and when the PMS will be updated.
  - 4 Identify any other impact to maintenance.
- C. **Manpower and Personnel.**
- 1 Identify whether the number of military and civilian position needed for the operation, maintenance and support of the System or CI are affected.
- D. **Supply Support.**
- 1 State whether existing Provisioning Technical Data (PTD) is affected; or if new PTD is required.
  - 2 State whether allowance documents/lists are affected. If affected, identify the necessary change(s) and state when the allowance document/lists will be updated.
  - 3 State whether interim spares will be required. If required, identify funding source, quantity and required time period.
  - 4 Provide both old and new National Stock Number(s) (NSNs) for items centrally affected.

E. **Support Equipment.**

- 1 Identify whether Common Test Equipment (CTE) is affected by the change. If affected, identify the necessary change(s).
- 2 Identify whether Peculiar Test Equipment (PTE) is affected by the change. If affected, identify the necessary change(s) and/or new PTE requirements.
- 3 State whether Test Equipment calibration standards are affected. If affected, provide both old and new standards, and when necessary instructions on re-calibration procedures.
- 4 Identify whether Automatic Test Equipment (ATE) and/or Test Program Sets (TPS) are affected. If affected, include a description of the impact, i.e., what the change is, who will install the change, is new ATE or TPSs required.

F. **Technical Data.**

- 1 Is the Logistics Support Plan, i.e., Integrated Logistics Support Plan (ILSP), Electronics Integrated Logistics Support Plan (EILSP) or the Operational Logistics Support Plan (OLSP) affected (require updating to reflect the configuration change)? If affected, identify who and when the document will be updated and by whom.
- 2 State whether or not item/system/equipment specification(s) (including interface specifications) are affected? If affected, identify the change, and who is responsible for updating the specification(s). Updated specifications should be included with the ShipAlt.
- 3 State whether any drawing(s) is affected. If affected, identify which drawing(s) is affected, the change, and who and when the drawing(s) will be updated.
- 4 State whether technical manuals are affected. If affected, identify the technical manual(s) affected and describe the change. Identify who is responsible for updating the manual(s) and when the technical manual(s) will be updated.
- 5 State whether operating procedures are affected. If affected, identify which procedures are affected, describe the required change, and identify who is responsible for revising the procedure(s), and when it will be updated.

G.     **Training and Training Support.**

TBD

H.     **Computer Resources Support.**

TBD

I.     **Facilities.**

TBD

J.     **Packaging, Handling, Storage and  
Transportation (PHS&T).**

TBD

K.     **Design Interface**

TBD



**CONFIGURATION CONTROL BOARD  
REPRESENTATIVES/MEMBERSHIP  
FOR ACQUISITION PROJECTS**

<u>FUNCTIONAL AREA</u>	<u>RESPONSIBILITY</u>
Project Manager	Chairperson
Deputy Project Manager	Permanent Member
Sponsor	Permanent Member
Project Logistics Manager	Permanent Member
Platform Manager	Permanent Member
Logistics Manager	Permanent Member
Engineering (HM&E)	Permanent Member
Engineering (Electronics)	Permanent Member
Contracting Support	Permanent Member
Safety, Security, and Environmental Health	Permanent Member
Logistic Policy	Permanent Member
Training and Performance Consulting	Permanent Member
Configuration Manager	Recorder
Legal	Ad Hoc Member
Acquisition Technical Support	Ad Hoc Member
Quality Support	Ad Hoc Member
Equipment Manager	Ad Hoc Member

**CONFIGURATION CONTROL BOARD  
REPRESENTATIVES/MEMBERSHIP  
FOR OPERATIONAL SYSTEMS**

<u>FUNCTIONAL AREA</u>	<u>RESPONSIBILITY</u>
Operations/Facility Manager	Permanent Member
Platform Manager	Permanent Member
Logistics Manager	Permanent Member
Engineering (HM&E)	Permanent Member
Engineering (Electronics)	Permanent Member
Safety, Security, and Environmental Health	Permanent Member
Logistic Policy	Permanent Member
Training and Performance Consulting	Permanent Member
Configuration Manager	Recorder
Legal	Ad Hoc Member
Acquisition Technical Support	Ad Hoc Member
Quality Support	Ad Hoc Member
Equipment Manager	Ad Hoc Member
Contracting Support	Ad Hoc Member

## **ACRONYM LIST**

ACD	Allocated Configuration Documentation
ATE	Automatic Test Equipment
CCB	Configuration Control Board
CI	Configuration Item
CM	Configuration Management
CMan	Configuration Management Manager
CMP	Configuration Management Plan
CTE	Common Test Equipment
DOT	Department Of Transportation
ECP	Engineering Change Proposal
EILSP	Electronic Integrated Logistics Support System
FCD	Functional Configuration Documentation
ICWG	Interface Control working Group
ILS	Integrated Logistics Support
ILSP	Integrated Logistics Support Plan
IRM	Information Resources Management
LRU	Lowest or Line Replaceable Unit (LRU)
MNS	Mission Need Statement
OGA	Other Government Agency
ORD	Operational Requirement Document
PCD	Product Configuration Documentation
PMS	Preventive/Planned Maintenance System
PTD	Provisioning Technical Documentation
RFD	Request For Deviation
RFW	Request For Waiver

ShipAlt	Ship Alteration
TCTO	Time Compliance Technical Order